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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: TURBERFIELD, ET AL.  
Serial No.: 10/088,403  
Filed: 18 March 2002  
Title: PHOTONIC CRYSTAL MATERIALS  
Docket: 480821.90116

INFORMATION DISCLOSURE STATEMENT

- 1. Pursuant to 37 CFR 1.97(b) [within 3 mos. of filing or prior to 1st Office Action]
- 2. Certification Pursuant to 37 CFR 1.97(c) [before Final Office Action or Allowance]
- 3. Fee Payment Pursuant to 37 CFR 1.97(c) before Final Office Action or Allowance]
- 4. Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d) [before issue fee payment]

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

The following are submitted in the above-identified application in compliance with 37 CFR 1.97 & 1.98:

5. A list of documents on form PTO-1449, together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

- 6. 37 CFR 1.97(b): [within 3 mos. of filing or prior to 1st Office Action]
- 7. 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
- 8. The required certification made in item 11 below; or
- 9. The \$230.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.

[ ]10. 37 CFR §1.97(d): [before issue fee payment]; and

(a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attn.: PETITIONS EXAMINER" and if applicable, include batch locator information: e.g. "Allowed Files, Batch \_\_\_\_\_, Date of Allowance \_\_\_\_\_"), and

(b) The required Certification is stated in item 11 below.

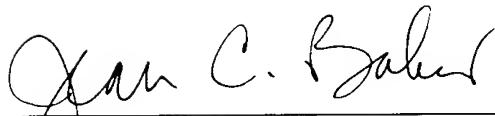
[ ]11. Certification

[ ]12. Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or

[ ]13. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, or to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.

[x]14. Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 17-0055. An original and two (2) copies of this document are enclosed.

Respectfully submitted,



Jean C. Baker  
Reg. No. 35,433

QUARLES & BRADY LLP  
411 E. Wisconsin Avenue  
Milwaukee, WI 53202-4497  
Tel. No. (414) 277-5709  
Fax No. (414) 271-3552

**Form PTO-1449**  
(Rev. 2-88)

U. S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO  
**480821.90181**

SERIAL NO  
**10/088,403**

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

*(Use several sheets if necessary)*

APPLICANT  
**TURBERFIELD, et al.**

FILING DATE  
**18 March 2002**

GROUP

**U. S. PATENT DOCUMENTS**

* EXAMINER'S INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
1	4,882,245	11/21/89	Gelorme et al.	430	14	
2	5,304,457	4/19/94	Day et al.	430	280	

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
1	99/09439	2/25/99	WO	G02B	6/12		
2	98/35248	8/13/98	WO	G02B	6/138		
3	0 964 305	12/15/99	EP	G03F	7/00		
4	0 867 488	9/30/98	EP	C09D	163/00		

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

		1	Witzgall et al, Optics Letters, 1998, vol. 23, no. 22, 1745-1747
		2	Lee et al, Journal of Vacuum Science & Technology B, 1995, vol. 13, no. 6, 3012-3016
		3	Campbell et al, Nature, vol. 404, no. 6773, 53-56
		4	Lorenz et al, Sensors and Actuators A, 1998, vol. 64, 33-39
		5	Berger et al, Journal of Applied Physics, 1997, vol. 82, no. 1, 60-64
		6	Berger et al, Electronic Letters, 1997, vol. 33, no. 5, 425-426
		7	Mei et al, Optics Letters, 1995, vol. 20, no. 5, 429-431

EXAMINER

DATE CONSIDERED

\* EXAMINER: Initial if a citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

